

# Complaint and Appeal Process

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## Revision History

Rev No	Revision Date	Author	Approved by	Page No	Sec. No	Brief Description of Change
1	Jan 2013	Sandeep Dua	Venkataram Arabolu			Change of Logo
2	Jun 2014	Sandeep Dua	Venkataram Arabolu	5 of 7	3.1.4	Addition of number of days of acknowledgement of Appeal to Appellant
3	Jun 2016	Sandeep Dua	Venkataram Arabolu	5 of 7 6 of 7	3.1.3 3.2.1	ISO17021:2015 requirements 9.7.5, 9.8.1, 9.8.2, 9.8.4
2	May 2017	Sandeep Dua	Venkataram Arabolu	5 of 7	3.1.3	Any complaint / Appeal related to ZED

## Related Documents

Document Number	Title

## **1 Introduction**

The ensure consistent handling of complaints/Appeal received about the service that either BSI or its clients provide.

## **2 Scope**

**Complaint :** To ensure that BSI handle customer feedback in a positive manner and that our performance in dealing with customer feedback is monitored. To ensure that we derive maximum benefit from any criticism, compliment or comment and, if necessary, ensure corrective actions and quality improvement actions are implemented. Customer feedback is important in the development of BSI Management Systems and can be used to identify dissatisfaction as much as satisfaction and aid our identification of areas where likely changes could be made in the way we conduct our business. The purpose of this procedure is to identify how the dissatisfaction is resolved and corrective action is addressed in BSI.

**Appeal :** During the process of assessment and certification, conflicts sometimes occur that cannot be resolved via the normal line processes. These can range from disagreements on nonconformities to decisions on the certification or certificate issue. This process exists to enable such disputes to be settled in formal businesslike manner.

The purpose of this procedure is applicable for BSI India and the complainant

## **3 Process**

### **3.1 Complaint :**

#### **3.1.1 Policy**

Customer feedback falls into five categories, compliments, dissatisfaction comments, complaints, misuse of the logos and other comments that are obtained as a result of customer surveys through GCSS. Director (Operations) and Manager (Operations Support) administers all customer feedback related to compliments, dissatisfaction comments, complaints, misuse of Logo centrally received through GCSS.

BSI units receiving appeals/complaints shall ensure that the persons engaged in the appeals/complaints-handling process are different from those who carried out the audits and made the certification decisions.

Submission, investigation and decision on appeals/complaints shall not result in any discriminatory actions against the appellant.

### 3.1.2 Feedbacks and Complaints received through GCSS

It is the responsibility of all assessors during the "closing meeting" of all assessment visits to inform the customers about the survey and highlight the importance of responding to the same.

On a weekly basis Mgr Ops Support will log on to the BSI Survey and will review the data. Information related to the dissatisfaction will be marked to Regional Operations Manager copied to Managing Director, Director Ops, Head C&R.

Any dissatisfaction comments registered through GCSS with regard to delivery of assessment services by BSI is forwarded to Key Account Manager / Regional manager / Branch manager is responsible to communicate with client, investigate and on resolution convey the output to Manager (Operations Support). He records the investigation /complaint resolution status details in GCSS and closes the complaint. Once resolved, the same is closed in GCSS.

He/She should ensure that the company being complained about is registered with BSI and that the complaint is within the scope of registration. Also ensure that the complainer has already logged their complaint in writing to the client and establish whether the complainer is happy for their name to be disclosed. Any complaint received from an Accreditation Body will be referred to the Head (C&R).

### 3.1.3 Complaints Received directly through email or letter by BSI

All complaints received by BSI directly through email or letter with regard to the services provided by BSI including ZED assessment or with regard to BSI's clients is forwarded to Head (C&R).

Any valid complaint about a certified client shall be referred by BSI to the certified client in question at an appropriate time.

He/She investigates internally and with complainant in case of any clarification required and takes suitable corrective action. Once resolved the same is communicated to the complainant. All such complaints and their status of their investigation and corrective action taken is recorded in Form A 390.

Submission, investigation and decision on complaints shall not result in any discriminatory actions against the complainant

All complaints, GCSS data analysis are reviewed during Management Review Meeting and also during Certification Advisory Board Meeting for taking necessary corrective and preventive action.

### 3.1.4 Customer Communication

On receipt of any complaint / appeal, the complainant / appellant is acknowledged within 2

working days and after investigation, the out come is also communicated to him. Depending upon the nature of complaint, every effort is taken to close the complaint with in 60 days.

3.1.5 The certification body shall be responsible for all decisions at all levels of the complaints-handling process

3.1.6 Submission, investigation and decision on complaints shall not result in any discriminatory actions against the complainant.

## **3.2** Appeal

### 3.2.1 Formal Communication

Where a client is in dispute with his Assessor about any issue e.g. a major nonconformity or a recommendation for cancellation, suspension or any other issue that relates to the certification status of a client, in the first instance the Assessor should contact his line manager (within 48 hours) who will then inform the Operations and Compliance Director of the dispute. The Operations Director will consult with the Assessor and Compliance and Risk to determine the facts and obtain all supporting information within agreed timelines. Head C&R must ensure all information necessary to validate for handling all appeals from clients is obtained. BSI Group India shall be responsible for gathering and verifying all necessary information to validate the appeal.

All communications with the Appellant will be in writing and served on the Appellant at the address given on the License or the Registered Office or if the Appellant is not a client at the address nominated by them.

### 3.2.2 Establishing an Appeals Panel

An Appeal panel will be appointed by the hub Managing Director and consist of a Chairman and two member drawn from either the Certification Advisory Council or Management Systems. All members of the Appeals Panel shall be independent of the actual issue under consideration with at least one member coming from the Certification Advisory Council.

### 3.2.3 Arranging a meeting of the Appeal Panel

A meeting of the Appeals Panel is held as soon as can be arranged at the convenience of all parties. The Appellant is given a minimum of 7 working days notice of the time and place of the appeal and is advised of the names of the Chairman and Member of the Appeals Panel. The Appellant may object to one or more of the Appeals Panel members, giving reasons in writing to the hub Managing Director.

#### 3.2.4. Timescales for Appeal Decisions

Appeals not mandated with timescales will be processed, concluded and decisions communicated to relevant parties as efficiently as circumstances permit. .

#### 3.2.5. Conduct of the hearing by the Appeal Panel

The Chairman of the Appeals Panel ensures that:

- The Appeals Panel hears, in confidence, the evidence and opinion provided by the Appellant.
- The Appeals Panel hears, in confidence, the evidence and opinion provided by BSI
- The Appeals Panel evaluates the representations put by the two parties and after due consideration and further questioning, if required, make a decision. The decision of the majority of the Appeals Panel as declared by its Chairman and shall be final and conclusive, subject to the pertinent clauses of the relevant Regulations and Conditions.
- The Chairman of the panel records the proceedings and the decision of the Appeals Panel.

#### 3.2.6. Notification of the Decision of the Panel

The Chairman of the panel notifies BSI, the Appellant in writing of the decision reached by the Appeals Panel within 5 working days from the date of the Appeals hearing.

#### 3.2.7. Redress

In the event of the Panel reaching a decision to revise the original decision made by BSI, redress is limited to the declaration by BSI of the revised decision in the same manner as the original decision was declared. There shall be no liability for loss or damage upon the original decision.

#### 3.2.8. Corrective Action

BSI will consider the findings of the Panel and take any appropriate corrective and preventive action as required.

#### 3.2.9. Records

Records of any Appeal will be retained by the Head of Compliance & Risk for seven years.

#### 3.2.10 Involvement of Accreditation Board

Accreditation Boards or its Stake holders may intervene in individual disputes or appeals.

## **4.0 Documents and Records**

### 4.1 Reports and Forms

- Complaint Feedback Form A390

### 4.2 Records

- Monthly GCSS Analysis report
- Customer Complaint Record A390
- Appeal Records